

CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION

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April 10, 2009

To: RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM APPLICANT

Subject: FISCAL YEAR 2009/2010 REQUEST FOR PROPOSAL

The California Emergency Management Agency (CalEMA) is soliciting proposals from eligible agencies that have expressed an interest in the Residential Substance Abuse Treatment (RSAT) Program. The RSAT Program is administered to CalEMA by the U.S. Department of Justice, Office of Justice Programs, Bureau of Justice Assistance. The purpose of the RSAT Program is to assist state and local government to develop and implement substance abuse treatment programs in state and local correctional and detention facilities, and to create and maintain community-based aftercare services for offenders.

Enclosed is a Request for Proposal (RFP) written for the RSAT Program. Please refer to Part I, Section C and D of this RFP to determine if your agency meets the eligibility criteria and program requirements set forth for this program.

The submission deadline for all RSAT Proposals is June 1, 2009. All proposals must be either postmarked by **Monday June 1, 2009**, or hand delivered to this office no later than 5:00pm on that same day. Proposal must be mailed or hand delivered to the following address:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: RSAT Crime Suppression Section

For all other questions concerning this program or the enclosed RFP, please contact the Crime and Gangs Branch, Crime Suppression Section at (916) 323-7736.

Sincerely,

Original Signature on File

KIRBY EVERHART, CHIEF
Crime and Gangs Branch

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**

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- IV. **FORMS** -Click on one of the form links below to access the form. Save the form to your hard drive before you attempt to fill it out. To access the complete list of forms on our website click on **or** go to www.oes.ca.gov select the Grants tab, select LEVS Criminal Justice Grant RFA/RFP then look in the "Related Links" for "*Forms*:" Or paste the following link into your browser:

[http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)&Div=Law+Enforcement+and+Victim+Services+\(LEVS\)&Branch=Grant%20Applications%20and%20Proposals%20\(RFAs/RFPs\)Forms](http://www.oes.ca.gov/WebPage/oeswebsite.nsf/OESBranchContentPortal?ReadForm&type=Forms&look=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)&Div=Law+Enforcement+and+Victim+Services+(LEVS)&Branch=Grant%20Applications%20and%20Proposals%20(RFAs/RFPs)Forms)

Proposal Checklist And Required Sequence

Proposal Cover Sheet

Grant Award Face Sheet And Instructions (CalEMA 2-101)

Project Contact Instructions and Information (CalEMA 2-102))

Signature Authorization And Instructions (CalEMA 2-103)

Certification Of Assurance Of Compliance (CalEMA 2-104)

Federal Grant Funds Log (CalEMA 2-105)

Application Budget (Cal EMA 2-106) – Budget Narrative (CalEMA 2-107)

Budget Forms (Excel spreadsheet format) – c. With % Match

Personal Services – Salaries/Employee Benefits

Operating Expenses

Equipment

Project Narrative (CalEMA 2-108)

Project Summary (CalEMA 2-150)

Sample Operational Agreement (CalEMA 2-161)

Noncompetitive Bid Request Checklist (CalEMA 2-156)

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Emergency Fund Procedures (CalEMA 2-153)

Other Funding Sources (CalEMA 2-151)

Prior, Current, And Proposed CalEMA Funding (CalEMA 2-152)

Project Service Area Information (CalEMA 2-154)

Computer And Automated Systems Purchase Justification (CalEMA 2-157)

Reporting Alien Convictions (CalEMA 2-159)

Preference Points Certification (CalEMA 2-155)

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**

PART I – INFORMATION

A. INTRODUCTION

This Request for Proposal (RFP) provides the information and the forms necessary to prepare a proposal for the California Emergency Management Agency (CalEMA) grant funds. The terms and conditions described in this RFP supersede previous RFPs and conflicting provisions stated in the *Recipient Handbook*. The *Recipient Handbook* provides helpful information for developing the proposal and is accessible at www.oes.ca.gov, by clicking on the Grants tab, select "Criminal Justice Grants RFA /RFP" then looking in the "Related Links" for "*Recipient Handbooks*."

B. CONTACT INFORMATION

Questions concerning this RFP, the application process, or programmatic issues, should be submitted by fax or e-mail to:

Leona LaRochelle
Criminal Justice Specialist
Fax: (916) 323-1576
Email: Leona.larochelle@oes.ca.gov

Contact information is provided above; however, CalEMA staff cannot assist the applicant with the actual preparation of its proposal. During the period of time between the publication date of the RFP and the date the competitive proposal is due, CalEMA can only respond to technical questions about the RFP submitted by fax, or e-mail.

C. PROPOSAL DUE DATE AND SUBMISSION OPTIONS

One original and three copies of the proposal must be delivered to CalEMA, Law Enforcement and Victim Services Division by the date and time indicated below. ***Late proposals will be deemed ineligible for funding.*** Submission options are:

1. Regular or overnight mail, **postmarked by June 1, 2009**, to:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: RSAT Crime Suppression Section

2. Hand delivered by **5:00 p.m. on June 1, 2009**, to:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: RSAT Crime Suppression Section

D. ELIGIBILITY

Only state agencies and units of local government are eligible to apply and receive funding for the Fiscal Year (FY) 2009/2010, Residential Substance Abuse Treatment (RSAT) Program.

E. FUNDS

1. Source of Funds

CalEMA applies for and receives RSAT funds annually from the United States Department of Justice (USDOJ), Bureau of Justice Assistance (BJA), a component of the Office of Justice Programs (OJP), and was created by statute (42 U.S.C. § 3796ff-1(e)).

2. Funding Amount

Applicants are allowed to apply for up to a maximum of \$200,000 to fund their CalEMA RSAT project. Applicants *should not* apply for more than their project can spend in the grant period. The total number of Recipients will be determined by the funds allocated to the Awarded Projects. Agencies awarded under this program will be funded on a demonstrated need.

3. Grant Period

Successful applicants will be funded for a three-year cycle, the first year of which will commence July 1, 2009 and end June 30, 2010. A non-competitive Request for Application (RFA) for continuation funding will be issued for the second and third year. Continued funding is contingent on the enactment of the federal award to CalEMA. Applicants shall build their proposal, objectives, activities, budget narrative and budget line-item sheets based on a 12-month grant period. CalEMA reserves the right to extend the grant periods if deemed appropriate.

4. Match Requirement

This program requires a match in the amount of 30 percent (30%) based on total project cost. A grant awarded under this program may not cover more than 70 percent (70%) of the total costs of the project being funded. The applicant must identify the source of the 30% non-federal portion of the budget and how match funds will be used. (NOTE: *The match percentage is subject to reduction at the discretion of CalEMA and may be less than 30%.*) Applicants may satisfy this match requirement with either cash or in-kind services.

5. Use of Funds

RSAT funds may be used to implement two types of substance abuse treatment programs; residential and/or jail-based, however, all projects are required to provide aftercare services. Applications involving partnerships with community-based substance abuse treatment programs will be given priority consideration. No more than 10 percent of the total award may be used for treatment of those released from a state facility.

F. PROGRAM INFORMATION

The purpose of the RSAT Program is to develop and implement substance abuse treatment services in state and local correctional and detention facilities, and to create and maintain community-based aftercare services for offenders. RSAT enhances the capability of correctional and detention facilities to provide residential substance abuse treatment for incarcerated inmates; prepares offenders for their reintegration into the communities from which they came by incorporating reentry planning activities into treatment programs; assists offenders and their

communities through the reentry process through the delivery of community substance abuse treatment and other broad-based aftercare services. The goal of this program is to break the cycle of drugs and violence by reducing the demand for, use of, and trafficking of illegal drugs.

Following are the two types of RSAT programs that meet the criteria:

Residential Program:

- Last at least 6 and no more than 12 months.
- Provide residential treatment facilities set apart (in completely separate facility of dedicated housing unit exclusively for use by RSAT participants) from the general correctional population.
- Focus on the substance abuse problems of the inmate.
- Develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.
- Require urinalysis or other proven reliable form of drug and alcohol testing for program participants, including both periodic and random testing, and for former participants while they remain in the custody of the state or local government.
- If possible, RSAT participation should be limited to inmates with 6 to 12 months remaining in their confinement so they can be released from prison instead of returning to the general prison population after completion of the program.

Jail-Based Program:

- Last at least 3 months.
- Strive to separate the treatment population from the general correctional population
- Focus on the substance abuse problems of the inmate.
- Develop the inmate's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and related problems.
- Have a design based on effective, scientific practices.

Required Aftercare Component:

Aftercare services must be provided and involve the coordination to assist in the placement of program participants into community substance abuse treatment services/facilities upon release. Projects shall coordinate with any Substance Abuse and Mental Health Services treatment programs such as; social services and rehabilitation, education and job training, parole supervision, halfway houses, self-help, and peer group programs that address the needs of this target population. RSAT funds to provide aftercare treatment to offenders must be for a period not to exceed 1 year after release. **NOTE:** No more than 10 percent of the total award may be used for treatment of those released from a state facility.

G. PREPARING A PROPOSAL

The Table of Contents includes a link to a Proposal Cover Sheet. Please complete the Proposal Cover Sheet and attach it to the front of your proposal.

The following are the components required for to complete the proposal:

- Proposal Cover Sheet;
- Grant Award Face Sheet (CalEMA A301);
- Project Contact Information;
- Signature Authorization and Instructions;
- Project Narrative;

- Budget Narrative and the Project Budget (CalEMA A303a-c);
- Proposal Appendix (*refer to Part II, C.*);
- Operational Agreements;
- Copy of the Agencies Drug (urinalysis) Policy
- Preference Points Certification Form (*if applicable*); and
- Certification of Assurance of Compliance (*for your information only*).

NOTE: Failure to include the required components may result in a reduced score or disqualification. CalEMA will *not* advise the applicant that the proposal is incomplete prior to rating or disqualification.

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**

PART II – INSTRUCTIONS

The instructions in this section correspond to each of the proposal components and to the forms required to complete the proposal.

The applicant must use the forms provided in “Forms” ([FORMS](#)) and plain 8½” x 11” white paper for the proposal. The blank Project and Budget Narrative pages on the website have been pre-formatted to CalEMA standards. If you create your own computer-generated Project and Budget Narrative pages, the format must duplicate the CalEMA pre-formatted pages and not allow the applicant more space than provided on the CalEMA forms. The applicant must ensure information requested by the RFP instructions is included in the appropriate section of the proposal to receive credit. If a space limitation is specified for a component, strict adherence to the space limitation is required to avoid a reduction in the proposal’s score.

Copies of the proposal must be assembled separately and individually fastened in the upper left corner. ***DO NOT BIND PROPOSAL.***

Failure to comply with these spacing/formatting requirements is one of the factors which may negatively impact the applicant’s comprehensive assessment score.

A. PROJECT NARRATIVE

The project narrative is the main body of information describing the problem to be addressed, the plan to address the identified problem through appropriate and achievable objectives and activities, and the ability of the applicant to implement the proposed plan.

1. Problem Statement (maximum two pages)

Describe the problem to be addressed by this proposal: include supporting statistical data; targeted area; target population; and crime statistics. Describe why stated needs are not being met through existing resources. If you are enhancing an existing program, please be specific regarding the addition of new beds, services, etc.

2. Plan and Implementation (maximum seven pages)

Plan (maximum five pages): Describe the overall plan for implementing and administering a CalEMA RSAT residential or jail-based substance abuse treatment program.

Also, indicate in this section the following items in the response:

1. Each staff person/job title that will have RSAT Program responsibilities. Include the duties for that position, and if known, the name, position, title and qualifications or certifications. If training is involved, describe whether staff training is administered jointly with the treatment providers. This description must clarify, and differentiate between those who will be grant funded, or used as a match.
2. Describe, if applicable, how any non-RSAT and Non-Cash Match funds will be used to support RSAT implementation (i.e. Inmate Welfare Fund, State General Fund, and Alcohol and Drug Abuse Programs).
3. Describe how the project will collect and report data relative to the anticipated service goals and the activities accompanied with each objective.

Please refer to Attachments A, B & C for guidance with this section, linked below:

[Attachment A – RSAT Definitions](#)

[Attachment B – Progress Report Questions](#)

[Attachment C – Average Cost Per Offender](#)

Mandatory Objectives:

OBJECTIVE # 1: Provide or Enhance Residential Substance Abuse Treatment programs in a facility set apart from the general population in an in-custody, institutional-based setting; or correctional community-based setting.

- a) Management Procedures:** Describe in detail how treatment services will be provided to in-custody participants. Describe the target population (i.e. male, females, adult, juvenile). Describe the average treatment cost per offender, per day for the program. Describe the number of days in the residential treatment program. Describe how the screening and assessment process will be developed, and monitored. Include any additional treatment philosophy, activities and related services, if any.
- b) Anticipated Service Goals:** Provide the number of residential substance abuse treatment beds to be served or enhanced during the grant period; provide the total number of offenders entering residential treatment; average length of stay in the residential program in days for those completing the program; number of offenders who successfully complete the program; and average cost, in whole dollars, of the program per day, per offender who completed the residential program.

OBJECTIVE # 2: Develop the participant's cognitive, behavioral, social, vocational, and other skills to solve the substance abuse and other related problems.

- a) Management Procedures:** Describe the treatment delivery methods that will be used; proposed treatment length; service provider and qualifications; and case management approach. Describe the incorporation of reentry planning

activities into the treatment program. Include any additional treatment philosophy, activities and related services, if applicable.

- b) Anticipated Service Goals:** Provide the total number of offenders who successfully complete the program; the number who remains drug-free during the residential program; the number who have passed drug testing during a reporting period; and the total numbers of offenders who have dropped out or were terminated from the program.

OBJECTIVE # 3: Implement or continue to require urinalysis or other proven reliable forms of drug and alcohol testing for participant's and former participant's while they remain in the custody of the state or local government.

- a) Management Procedures:** Describe the existing or proposed substance abuse testing policy and how testing is administered to participants (i.e. urinalysis, blood, toxicological screening). Discuss the frequency of testing in the residential in-custody or aftercare program, and the source documentation methodology which will be maintained to document services and track participants. Discuss how sanctions are imposed in the event of participant violation, positive testing or program noncompliance. Include in the appendix of the proposal a copy of the drug (urinalysis) policy administered by your program
- b) Anticipated Service Goals:** Provide the frequency of testing administered in the residential, jail-based, in-custody or aftercare setting (both total number and percentage overall).

OBJECTIVE # 4: Assist the participant and the community through the reentry process through the delivery of both community-based treatment and other broad-based aftercare services.

- a) Management Procedures:** Describe how aftercare services will be provided. Include the coordination between the correctional treatment program, and other social services such as, mental health, and rehabilitation programs (i.e. education, job training, parole supervision, halfway houses, self-help, and peer group programs). Include what the average length of stay (in days) is in the aftercare program for those completing the program. Describe if the aftercare is CalEMA RSAT grant award funded or not, and how many offenders enter the CalEMA RSAT funded and other aftercare programs. Include what the average treatment cost per offender, per day, will be for each participant in the aftercare program.
- b) Anticipated Service Goals:** Provide the total number of offenders who successfully complete the aftercare program and the total number of offenders who dropped out or were terminated from the aftercare program. From the number of offenders who completed the aftercare program, provide how many have remained arrest-free and drug-free during the aftercare phase, and how many of the offenders who completed the aftercare phase remained arrest-free for one year following release from aftercare.

3. Organization Description: (maximum two pages)

Provide a description of the agencies with which coordinated efforts will take place. Provide a detailed description of the relationship between the correctional treatment program, the therapeutic community, state and local treatment and service agencies, particularly alcohol/drug abuse agencies as it applies to the services provided to the participant. These agencies may include but are not limited to the Department of Alcohol and Drug Programs, Department of Social Services, Department of Health and Human Services, Mental Health, and County Drug Administrators. Describe how coordination between state and local service agencies and treatment providers will add to the quality and effectiveness of the service delivery system.

- Working together to place program participants in appropriate community substance abuse treatment when participants leave the correctional facility at the end of their sentence or are released on parole.
- Joint involvement in developing an individualized plan for community substance abuse treatment of each offender.
- Coordination between correctional representatives and alcohol and drug abuse agencies at state and local levels.

The appendix must contain current Operational Agreements (OAs), signed and dated, with each agency involved in the coordination with the placement of program participants into community and/or community-based substance abuse treatment services upon release. (See Section C. Proposal Appendix for additional guidance)

The appendix must also contain an Organizational Chart that shows the relationships between the implementing agency and project staff. Clearly show the placement of the CalEMA RSAT funded project staff and their programmatic responsibility. The titles of positions in the organizational chart must match those specified in the Plan and in the Budget line-item. (See Section C. Proposal Appendix for additional guidance)

B. PROJECT BUDGET

The purpose of the project budget is to demonstrate how the applicant will implement the proposed plan with the funds available through this program. The budget is the basis for management, fiscal review, and audit. Project costs must be directly related to the objectives and activities of the project. The budget must cover the entire grant period. In the budget, include **only** those items covered by grant funds including match funds. Projects may supplement grant funds with funds from other sources. However, since approved line items are subject to audit, applicants should not include in the project budget matching funds in excess of the required match. Budgets are subject to CalEMA modifications and approval.

CalEMA requires the applicant to develop a **line item** budget which will enable the project to meet the intent and requirements of the program and ensure the successful and cost effective implementation of the project. The budgeted line items should support the budget narrative and the overall plan of the proposal. The applicant should prepare a realistic and prudent budget avoiding unnecessary or unusual expenditures which detract

from the accomplishment of the objectives and activities of the project. The following information is provided to assist in the preparation of the budget. Strict adherence to required and prohibited items is expected. **Where the applicant does not budget for a required item, the applicant assumes responsibility.** Failure of the applicant to include required budget items does not eliminate responsibility to comply with those requirements during the implementation of the project. The applicant should refer to the *Recipient Handbook* for additional information concerning CalEMA's budget policy or to determine if specific proposed expenses are allowable. The 2009 *Recipient Handbook* is accessible on our website at www.oes.ca.gov. Select the "Grants" tab then "LEVS Criminal Justice Grants RFA/RFP." Then look in the "Related Links" box for "*Recipient Handbooks*." Contact the person listed on page 1-subsection B of this RFP should you have additional budget questions.

Match Requirement: A grant made under this program may not cover more than 70% of the total costs of the project being funded. The applicant must identify the source of the 30 percent non-federal portion of the budget and how match funds will be used. *The match percentage is subject to change, and could be less than shown above.* Applicants may satisfy this match requirement with either cash or in-kind services. The formula for calculating match is demonstrated below:

Example: For an award amount of \$200,000, match would be calculated as follows:

$\$200,000 \div .70 = \$285,714$ (Total Project Cost). $\$285,714 \times .30 = \$85,714$ (match)

1. **Budget Narrative** (maximum two page)

The applicant is required to submit a narrative with the project budget. The narrative must be typed and placed in the proposal in front of the budget pages. The narrative should describe the following items:

- How the project's proposed budget supports the objectives and activities.
- How funds are allocated to minimize administrative costs and support direct services.
- The duties of project-funded staff including qualifications or education level necessary for the job assignment. This does not take the place of the brief justification required in the line item budget.
- How project-funded staff duties and time commitments support the proposed objectives and activities.
- Proposed staff commitments and the percentage of time dedicated to other efforts, in addition to the time allocated to this project.
- The necessity for subcontracts and unusual expenditures.
- Discuss any Mid-year salary range adjustments.

2. Specific Budget Categories

There is an Excel Workbook in “Forms” ([FORMS](#)) with spreadsheets for each of the following three budget categories: (RSAT; use format c. with percentage match spreadsheet)

- Personal Services – Employee Salaries/Benefits;
- Operating Expenses; and
- Equipment.

The left column of each budget category on the Spreadsheet requires line item detail including the calculation, justification and percentages for the expense. In the right columns, enter **whole dollar amounts only** (no cents) for each line item, and corresponding match dollars in the match columns on the Budget Line Item form. The spreadsheet will add each line. You may add extra rows if necessary. Enter the total amount of the budget category (i.e. Personnel, Operating, and Equipment) at the bottom of each page in the appropriate columns (i.e. RSAT; Match and Total Project Cost). If more than one page is needed for a category; subtotal the first page and put the grant total on the last page of each budget category. The Total Project Cost on the Equipment page of the budget line-item spreadsheet must correspond to the amount of the Total Project Cost (Block 10G) on the Grant Award Face Sheet. The Equipment section must be completed and submitted even if there are no line-items identified in the equipment category.

a. **Personal Services – Salaries/Employee Benefits (CalEMA A303a)**

1) Salaries

Personal services include services performed by project staff directly employed by the applicant and must be identified by position and percentage of salaries. They may be salaried or hourly, full-time or part-time positions. Sick leave, vacation, holidays, overtime, and shift differentials must be budgeted as salaries. If the applicant's personnel have accrued sick leave or vacation time prior to the approval of grant funding, they may *not* take time off using project funds. Salaries for staff not directly employed by the applicant must be shown as participating staff (see *Recipient Handbook*, Section 4500) in the Operating Expenses Category. Consultant services remain under Operating Expenses (refer to Part II, B.2.b. - Operating Expenses - paragraph two.)

2) Benefits

Employee benefits must be identified by type and percentage of salaries. The applicant may use a fixed percentage of salaries to calculate benefits. Budgeted benefits cannot exceed those already established by the applicant.

Employer contributions or expenses for social security, employee life and health insurance plans, unemployment insurance, and/or pension plans are allowable budget items. Benefits, such as uniforms are allowable budget items if negotiated as a part of an employee benefit package.

A line item is required for each different position/classification, but not for each individual employee. If several people will be employed full-time or part-time in the same position/classification, provide the number of full-time equivalents (e.g., three half-time clerical personnel should be itemized as 1.5 clerical positions).

b. Operating Expenses (CalEMA A303b)

Operating expenses are defined as necessary expenditures other than personal salaries, benefits and equipment. Such expenses may include specific items directly charged to the project, and in some cases, when permitted by the funding source, an indirect cost allowance. The expenses must be grant-related (e. g. to further the program objectives as defined in the grant award) and be encumbered during the grant period.

The following items fall within this category: consultant services such as subcontractors, participating staff who are not employed by the applicant, travel, office supplies, training materials, research forms, equipment maintenance, software equipment rental/lease, telephone, postage, printing, facility rental, vehicle maintenance, answering service fees and other consumable items. Furniture and office equipment with an acquisition cost of less than \$5000 (including tax, installation, and freight) and/or with a useful life of less than one year fall within this category. Otherwise, these fall under equipment expenses.

Salaries for staff not directly employed by the applicant must be shown as consultant and/or participating staff costs (whichever is applicable per *Recipient Handbook* Sections 3710 and 4500) under the Operating Expenses category. These costs must be supported by an Operational Agreement (OA). In the case of grants being passed through a recipient to be operated by another agency, the staff from the second agency will be shown in the Operating Expenses Category.

The applicant must include sufficient per diem and travel allocations for person(s) to attend required CalEMA training conferences or workshops. (Project Directors training is usually scheduled every other year)

c. Equipment (CalEMA A303c)

Equipment is defined as nonexpendable tangible personal property having **a useful life of more than one year** and an acquisition cost of \$5000 or more per unit (including tax, installation, and freight).

A line item is required for different types of equipment, but not for each specific piece of equipment (e.g., three laser jet printers must be one line item, not three).

C. **PROPOSAL APPENDIX**

The proposal appendix provides CalEMA with additional information from the applicant to support components of the proposal. The following must be included:

- *Organizational Chart*: The Organizational Chart should clearly depict the structure of the applicant organization and the specific unit within the organization responsible for the implementation of the project. This chart should also depict supporting units within the organization (e.g., the Accounting Unit) and the lines of authority within the organization. Job titles on the Organizational Chart must match those in the Budget and Budget Narrative.
- *Operational Agreements*: OA's must contain original signatures, titles, and agency names for both parties and include dates effective for the proposed grant period. These documents must demonstrate a formal system of networking and coordination with other agencies and the applicant. Refer to 2009 Recipient Handbook Section 4000-4500. A copy of each OA must be kept on file by the recipient and made available for review during a CalEMA site visit, monitoring visit, or audit. A sample OA is in "Forms" ([FORMS](#)).
- *Project Summary*
- *Noncompetitive Bid Request (if applicable)*
- *Project Service Area Information*
- *Computer and Automated Systems Purchase Justification Guidelines (if applicable)*

D. **PREFERENCE POINTS CERTIFICATION**

California Government Code Section 7082 requires CalEMA to give preference to applicants from areas in the state designated as Enterprise Zones. These are areas identified to receive state contract preference points due to high unemployment, lower incomes and population density. The goal of the Enterprise Zone Program is to stimulate growth in economically distressed areas. Five percent (5%) of the proposal's total score will be added to the proposal for the applicant specifically targeting a designated Enterprise Zone for services. Two percent (2%) of the applicant's total score will be added to the proposal for the applicant whose service area includes an Enterprise Zone, but does not specifically target the area for services.

Complete information concerning the Enterprise Zone Program is available on-line from the Housing and Community Development, Division of Financial Assistance web page at <http://www.hcd.ca.gov/fa/cdbg/ez/>. If the applicant is eligible for preference points, certification of eligibility by the appropriate agency must be provided. Self-certification is not allowed.

**CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION**

**RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL**

PART III – ADDITIONAL INFORMATION

The applicant is strongly encouraged to review the following sections in preparing the proposal:

- A. Selection of Proposal for Funding
- B. Finalizing the Grant Award Agreement
- C. Administrative Requirements
- D. Budget Policy
- E. Glossary of Terms
- F. Rating Form (applicant is encouraged to review prior to submission of the proposal)
- G. Summary of Past Performance Policy

A. SELECTION OF PROPOSAL FOR FUNDING

1. Proposal Rating

Eligible proposals received by the deadline will be rated by a three member team. The rater's scores are averaged and then ranked numerically. The Rating Form used for this process is included in this section and is for informational purposes only.

2. Funding Recommendation

Final funding decisions are made by the Director of CalEMA. Funding recommendations are based on the following:

- The ranked scores of the proposal
- Consideration of funding priorities or geographical distribution specific to this RFP
- Prior negative administrative and programmatic performance and compliance as a CalEMA funded project, if applicable.

Projects previously funded by CalEMA will be reviewed for poor past compliance, including fiscal management, progress and annual reports, audit reports, and other relevant documentation or information. This review may result in one or more of the following actions: a) the project may not be selected for funding; b) the amount of funding may be reduced; or c) the grant award conditions may be placed in the Grant Award Agreement. See the attached Past Performance Policy for details.

3. Notification Process

Applicants will be notified in writing of the results of the rating process. Applicants not selected for funding will receive a denial letter containing their average score and information on the appeal process.

B. FINALIZING THE GRANT AWARD AGREEMENT

1. Standard Project Funding Authority

Allocation of funds is contingent on the enactment of the State Budget. CalEMA does not have the authority to disburse funds until the budget is passed and the Grant Award Agreement is fully executed. Expenditures incurred prior to authorization are made at the project's own risk and may be disallowed. When the executed grant is received, and the State Budget is finalized, authorized expenditure reports may be submitted for reimbursement of expenditures incurred subsequent to the effective date of the grant award agreement.

If, during the term of the grant award, the state and/or federal funds appropriated for the purposes of the grant award are reduced or eliminated by the California Legislature or the United States Government, or in the event revenues are not collected at the level appropriated, CalEMA may immediately terminate or reduce the grant award by written notice to the recipient. However, no such termination or reduction shall apply to allowable costs already incurred by the recipient to the extent state or federal funds are available for payment of such costs.

CalEMA Grant Award Agreements are subject to applicable restrictions, limitations, or conditions enacted by the California Legislature and/or the United States Government, subsequent to execution of the Grant Award Agreement.

2. Processing Grant Awards

a. Submission of Additional Materials

Upon selection of the projects to be funded, CalEMA will send the Grant Award Forms Package to the grantee for completion prior to the finalization of the Grant Award Agreement. CalEMA is not obligated to fund such projects until the applicant submits completed and correct documents required for the Grant Award Agreement. The final, completed and approved application becomes the Grant Award Agreement when signed by CalEMA's Executive Director or designee.

Upon selection of projects to be funded, CalEMA will send the Certification of Assurance of Compliance, Equal Employment Opportunity Program Development, Drug Free Workplace Compliance, CEQA/Environmental Impact Compliance, Lobbying and Debarment/Suspension requirements, and Proof of Authority from city Council/Governing Board in the Grant Award Forms Package. Applicants selected for funding will then be required to submit the necessary assurances and documentation before finalization of the Grant Award Agreement. In signing the Grant Award Face Sheet, the applicant formally notifies CalEMA that the applicant will comply with all pertinent requirements.

Resolutions are no longer required as submission documents. CalEMA has incorporated the resolution into the Certification of Assurance of Compliance, Section VI, titled, "Proof of Authority from City Council/Governing Board." The Applicant is required to obtain written authorization from the city Council/Governing Board that the official execution of the agreement is in fact authorized to do so, and will maintain the said written authorization on file and readily available upon demand.

b. Grant Award Conditions

CalEMA may add grant award conditions to the Grant Award Agreement prior to or after funding. If conditions are added, these will be discussed with the applicant and a copy of the conditions will be sent to the grant recipient when the conditions are made part of the Grant Award Agreement. Grant Award conditions may include requirements for sole source justification, a computer feasibility study, or other requirements deemed necessary by CalEMA.

c. Grant Award Agreement

A copy of the executed Grant Award Agreement and pertinent attachments will be sent to the Project Director. The applicant is not authorized to incur costs against the grant until a copy of the fully executed Grant Award Agreement is received. When the executed grant is received a Report of Expenditures (CalEMA 201) may be submitted for reimbursement.

d. Grant Award Amounts

When the amount of funds available is limited, CalEMA may reduce the amount of the grant award from the amount requested by the applicant. In addition, CalEMA reserves the right to negotiate budgetary changes with the applicant prior to executing the Grant Award Agreement. If either of these actions is required, CalEMA will notify the applicant prior to executing the Grant Award Agreement.

C. ADMINISTRATIVE REQUIREMENTS

The following requirements apply to projects selected for funding and are explained below for the recipient's planning purposes.

1. The Recipient Handbook (RH)

The Recipient Handbook is accessible on the CalEMA Internet website at www.oes.ca.gov. Select Grants tab - LEVS Criminal Justice Grant RFA/RFP - in Related Links box select "Recipient Handbooks." The Recipient Handbook contains administrative information and requirements necessary to implement the project. Recipients must administer their grants in accordance with the Recipient Handbook requirements. Failure to comply with these requirements can result in the withholding or termination of the grant award.

2. Internet Access (RH 11500)

Funded projects are required to maintain a current telephone number and Internet access with an established e-mail address, as well as a current postal address and physical location within the State of California. Grant funds may be used for this purpose unless specifically prohibited by the RFP instructions.

3. Progress Reports and Data Collection (RH 10100)

Funded projects are required to participate in data collection and to submit progress reports required by the program. Projects are required to keep accurate records to document their progress in achieving the objectives reported in the progress reports. The records must be kept by the project for a period of three years. During site/monitoring visits, CalEMA will review these records for accuracy and compare them with the reported data submitted on the progress reports.

4. Monthly/Quarterly Report of Expenditures and Request for Funds (RH 6300)

Community-based organizations shall submit a monthly Report of Expenditures and Request for Funds (CalEMA 201) unless they request a quarterly reporting period. Government and education agencies receiving funds will be required to report on a quarterly basis. This form is due within 30 calendar days of the end of the reporting period, and must be submitted whether or not the project has incurred expenses. Delays in submitting the CalEMA 201 form, will result in the withholding of funds and may result in the recommendation to Cal EMA' Executive Director for termination of the grant award.

5. Technical Assistance/Site Visits (RH 10200/10300)

Funded projects are assigned a CalEMA program specialist to oversee the progress of the project in achieving its goals, objectives and compliance with the Grant Award Agreement. Program specialists are available to assist the project in the successful implementation of the project and in meeting the administrative requirements of the Grant Award Agreement. New projects should expect a site visit from the assigned program specialist within the first year of the grant period. Follow-up site visits will be conducted periodically throughout the life of the grant. Projects may request a site visit to obtain technical assistance.

6. Monitoring (RH 10400)

A monitoring visit is an onsite assessment by staff to determine if the project is in compliance with the terms of the Program; Grant Award Agreement; Program Guidelines; RFA/RFP; and the Recipient Handbook. Projects will be monitored on a random or as-needed basis.

7. Bonding Requirements (RH 2160)

Private community-based organizations (CBO) and American Indian organizations are required to obtain and send to CalEMA a notarized copy of a blanket fidelity bond or equivalent insurance contract applicable to officials and employees of CalEMA-funded projects within 60 days of the signed Grant Award Agreement. Failure to comply with this requirement may result in the withholding of grant funds or termination of the Grant Award Agreement. The beneficiary named on the bond or an endorsement must include the "State

of California, California Emergency Management Agency” and include the Grant Award number for identification purposes.

The time period covered by the bond must include the effective date and total time period of the grant, including extensions. The bond must be in an amount equal to 50 percent (50%) of the total grant award and may have a deductible in an amount not to exceed one percent (1%) of the bond.

A bond is not required of a recipient sponsored by units of government. CBOs sponsored by units of government may submit documentation indicating this in lieu of the bond or insurance contract, unless specifically required terms of the program or grant award conditions.

8. Audit Requirements (RH 8100)

Recipients must arrange for an audit of the grant award. Refer to 2009 RH for requirements.

9. Copyrights, Rights in Data, and Patents (RH 5300 -5400)

CalEMA owns rights of, and reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, and use, in whole or in part, material produced by activities supported by a Grant Award Agreement. These ownership rights are detailed in the Recipient Handbook.

10. Source Documentation (RH 10111)

Recipients will be required to maintain source documentation to support claimed expenditures and project accomplishments. Source documentation is defined as records used to validate project activities and achievements pertaining to the objectives outlined in the Grant Award Agreement. Recipients are to retain source documentation for progress reports on a quarterly basis, regardless of submission requirements. Requirements and definitions for program specific source documentation are delineated in the RFP instructions. Recipients will be required to have written job descriptions on file for positions funded by CalEMA detailing specific grant-related activities to achieve project objectives.

D. BUDGET POLICY

This document summarizes information on CalEMA Budget Policy contained in the Recipient Handbook. Additional information may be obtained by accessing the Recipient Handbook at www.oes.ca.gov, selecting Grants tab – LEVS Criminal Justice Grant RFA/RFP – Related Link Box - “Recipient Handbooks”

1. Supplanting Prohibited (RH 1330)

Grant funds must be used to supplement existing funds for program activities and not replace funds appropriated for the same purpose. If selected for funding, a written certification must be provided to CalEMA indicating grant funds will not be used to supplant existing funds. Potential supplanting will be the subject of application review, post-award monitoring, and audit. See Section 1330 of the Recipient Handbook rules.

2. Project and Other Income (RH 6610)

Project income, such as client fees and fees for services provided by the recipient (i.e., training, presentations, etc.), asset forfeitures, profits from the sale of project products, and conference proceeds as the result of a direct trade of time or products for money must be used to offset or augment the grant, unless otherwise specified in the RFP instructions. Project income cannot be used as matching funds, unless otherwise specified in the RFP instructions.

3. Methods of Contracting and/or Procurement (RH 3400)

A competitive bid process is required to purchase equipment or consultant services with grant funds. Noncompetitive bid contracts are disfavored. Noncompetitive bid request approval by CalEMA program staff is required prior to the purchase of equipment in excess of \$5,000, or to hire a specific consultant charging over \$5,000. Local units of government may use their approved procurement policy except for contracts over \$50,000. For organizations without a written procurement policy, a competitive bid process involves determining the specifications for the items needed and obtaining at least three bids from different vendors. Whenever a specific individual/organization name is identified in the project budget, a statement stating the selection of the individual organization was made competitively or a noncompetitive bid request will be required. CalEMA will provide assistance in submitting a noncompetitive bid request if the proposal is selected for funding and if CalEMA determines it is in the best interest of the project. These procedures do not apply to funds shared with participating agencies under the terms of an Operational Agreement (see Section 4500, Recipient Handbook).

4. Match Requirements (RH 6500)

The RFP Instructions (Part II) may specify a cash or in-kind match. When used to augment the project, expenditures for items such as Personal Services, Operating Expenses or Equipment are considered match if not in violation of the prohibition on supplanting. Match must be specified in the budget and will become part of the Grant Award Agreement. Specific instructions for calculating the match are provided below. There are examples of how to calculate the match requirement in Sections 6550-6550.2 of the Recipient Handbook.

a. State Funds Matching State or Federal Funds (RH 6522)

State and/or federal funds can be used to match other state and/or federal funds only if the following conditions have been met:

- The other funding source does not prohibit this practice;
- The funds are to be used for identical activities (e.g., to augment the project); and
- The project has obtained prior written approval from CalEMA or the terms of the program allow this practice.

b. Type of Match

1) Cash Match (RH 6511)

Cash match, also known as hard match, is often derived from the local funding resources committed to a project such as county general fund revenue, United Way contributions, private donations or profits from fund-raising events. When used to augment the project, cash expenditures for items such as personnel, facilities and supplies may be considered cash match if not in violation of the prohibition on supplanting. A cash match must be specifically identified by line item as match in the budget.

2) In-Kind Match (RH 6512)

In-kind match, also known as soft match, refers to goods and services which are contributed to the project, have a dollar value attached to them, and are also budgeted. In-kind contributions represent the project's non-cash outlay, including the non-cash outlay contributed by other public agencies and institutions, private organizations, and individuals. Examples include the donation of goods and volunteer time. In general, the value of in-kind contributions is determined by fair market value, which must be separately identified in the budget.

5. Travel and Per Diem Policies (RH 2236)

Projects are required to include sufficient per diem and travel allocations for project-related personnel, as outline in the Grant Award, to attend the mandated CalEMA training conferences or workshops outlined in the terms of the program. The most economical method of transportation in terms of direct expenses to the project and the employee's time away from the project must be used.

a. Out-of-State Travel (RH 2236.11)

Out-of-state travel is restricted and only allowed in exceptional situations. Recipients must receive CalEMA approval prior to incurring expenses for out-of-state travel. To request approval for out-of-state travel after the grant is awarded, complete an Out-Of-State Travel Request (CalEMA 700) and attach it to a completed Grant Award Modification (CalEMA 223).

b. State Travel and Per Diem Policy (RH 2236.2)

The following information details the State Travel Policy for budgeting travel expenses:

1) Mileage

When a privately owned vehicle is utilized on project-related business, a maximum of 50.5 cents per mile is allowed, unless a higher rate is justified. Documentation justifying a higher rate must be on file and available for audit, but should not be submitted with the proposal.

2) Meals and Incidentals

a) Breakfast \$6.00

Breakfast may be claimed when travel commences at or prior to 6:00 a.m. Breakfast may be claimed on the last fractional day of a trip of more than 24 hours if travel terminates at or after 8:00 a.m.

b) Lunch \$10.00

Lunch may not be claimed for travel less than 24 hours. Lunch may be claimed if the trip begins at or before 11:00 a.m. and may be claimed on the last fractional day of a trip of more than 24 hours if the travel terminates at or after 2:00 p.m.

c) Dinner \$18.00

Dinner may be claimed if the trip begins at or before 5:00 p.m. Dinner may be claimed when travel terminates at or after 7:00 p.m., whether on a one-day trip or on the last day of a trip of more than 24 hours.

d) Incidentals \$6.00

Incidentals may be claimed for trips of 24 hours or more.

e) Total Per Diem

The maximum is \$40.00 for a 24-hour period.

3) Lodging

The maximum allowed lodging expense is \$84.00, plus applicable taxes, (except as noted below). Lodging receipts are required for reimbursement.

4) Special Lodging Rates

The maximum allowed lodging rate in Los Angeles and San Diego counties is \$110, plus applicable taxes. The maximum for Alameda, San Francisco, San Mateo, and Santa Clara counties is \$140, plus applicable taxes.

5) Other

Taxi, airport shuttle, etc., which exceed \$3.50 must be supported by receipt. Parking in excess of \$10.00 must be supported by receipt.

c. Units of Government

Units of government must follow either their own written travel policy or the state policy.

d. Community-Based Organizations (CBO)

A CBO receiving CalEMA funds should use the state travel and per diem policy. The Recipient's written travel policy may be used only if the Recipient's travel policy is more restrictive than the state's.

6. Participating Staff (RH 4500)

The term “participating staff” refers to salaried employees of a participating agency assigned to work with the Recipient on the implementation of a project. The agreement between the Recipient, and the participating agency concerning participating staff must be reflected in the Operational Agreement. Grant related costs associated with participating staff must be itemized in the Operating Expense category of the grant budget.

7. Independent Contractor/Consultant Services (RH 3710)

Consultant services are provided on a contractual or salary basis by individuals or organizations not directly employed by the applicant. Independent contractors must not be used in lieu of employees. Independent contractors are defined as individuals or organizations meeting some or all of the following criteria:

- Produce a specific product or service;
- Work independently without direct supervision from the applicant;
- Work on specific projects;
- Provide services for a limited number of hours or period of time; and
- Have no agency management or oversight responsibilities directed toward the financial success or direction of the agency.

a. Rates

The maximum rate for independent contractors is \$250 per hour (excluding travel and per diem costs). A request for compensation for over \$250 per hour requires prior approval from Cal EMA staff and additional justification.

1) Exception to Rates

Compensation for independent contractors employed by state and local governments will be allowed when the unit of government will not provide their services without cost. In these cases, the rate of compensation is not to exceed the daily salary rate paid by the unit of government.

8. Facility Rental (RH 2232)

Office space charged cannot exceed 125 square feet per full-time employee. Up to \$21 per square foot annually (\$1.75 per square foot per month) is allowed for facility rental. If the rental cost for office space exceeds this rate, it must be consistent with the prevailing rate in the local area. This documentation must be on file and available for audit only.

a. Rental Space for Training and Counseling Rooms (RH 2232.1)

Rental space for training and individual and/or group counseling rooms may also be charged to the grant, providing the charge is based on actual costs to the Recipient and not reimbursed by other source.

9. Rented or Leased Equipment (RH 2233)

An explanation and cost analysis must be submitted if equipment is to be rented or leased. This analysis must demonstrate it is more cost-effective to rent/lease equipment than to purchase it. The project must receive approval from CalEMA prior to the execution of a rental or lease agreement.

10. Indirect Costs/Administrative Overhead (RH 2220)

Indirect costs are shared cost that cannot be directly assigned to a particular activity, but are necessary to the operation of the organization and the performance of the project. The costs of operating and maintaining facilities, accounting services and administrative salaries are examples of indirect costs.

a) Rates:

Project may charge indirect cost as follows:

- An amount, not exceeding ten percent (10%) of actual personnel salary costs; excluding benefits and overtime.
- An amount, not to exceed five percent (5%) of actual total direct project costs; excluding equipment.

11. Audits (RH 8151)

Recipients expending between \$25,000 and \$499,999 in federal or state funds annually cannot use federal funds to reimburse costs associated with audits under this section. Refer to 2009 RH for additional requirements.

12. Equipment (RH 2300)

Equipment is nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit (including tax, installation and freight).

If equipment is purchased as a complete package (i.e. computer, monitor, modem, software) the total package cost would determine qualification under equipment category. Recipient's equipment purchase will remain the property of the Recipient, CalEMA only requires Recipient to maintain accountability for the equipment.

a) Allowable Expenses (RH 2320)

Equipment directly related to and used for project activities will be considered for purchase approval if no other equipment owned by the applicant is available and suitable for the project.

Equipment initially budgeted in the Grant Award should be ordered right away so it can be placed in service during the grant period.

b) **Computers and Automated Equipment (RH 2340)**

Funded projects are required to maintain Internet access with an established e-mail address (Sec 11500) for grant related communication with CalEMA.

1) **Community-Based Organizations (RH 2342.1)**

Community-based organizations may budget up to \$25,000 in computer equipment, software, and related costs. Justification will be required if proposal is selected for funding. CalEMA will evaluate the proposed purchase on the basis of grant-related need. Applicant must receive prior approval from CalEMA to purchase.

2) **Units of Government (RH 2342.2)**

Units of government may budget for computer equipment, software, and related costs. Justification will be required if the proposal is selected for funding. CalEMA will evaluate the proposed purchase on the basis of grant-related need. Applicants must receive prior approval from CalEMA to purchase. If federal grant funds totaling in excess of \$100,000 are used for automated data processing purchases, prior federal approval is also required.

3) **Computer Purchase Justification (RH 2341)**

Approval for purchases of computers and automated equipment is contingent on the applicant's ability to demonstrate cost-effective, project-related need, which is best demonstrated by clearly relating each computer system or component to the grant objectives and activities. (Instructions for preparing the justification see RH 2342.3).

13. Prohibited Expense Items (RH 2240)

a) **Bonuses/Commissions**

Projects are prohibited from paying any bonus or commission to any individual, organization or firm unless specifically authorized by the terms of the program.

b) **Lobbying (RH 2242)**

Refer to RH 2242.1 and 2242.2 (Exemptions) for an extensive list of prohibited activities.

c) **Fundraising (RH 2243)**

CalEMA grant funds cannot be used for organized fundraising, including financial campaigns, endowment drives, solicitation of gifts and bequests, or similar expenses incurred solely to raise capital or obtain contributions.

d) **Real Property and Improvements (RH 2244)**

Real property, including land, land improvements, structures and their attachments, and structural improvements and alterations are not allowable expenditures unless specifically authorized in the terms of the program.

e) Interest (RH 2245)

The cost of interest payments is not an allowable expenditure unless the cost is a result of a lease/purchase agreement; finance charges, late payment fees, penalties, and returned check charges, as well are not allowed.

f) Food and Beverages (RH 2246)

The cost of food and beverages at grant-sponsored conferences, meetings or office functions are not allowable expenditures.

g) Weapons and Ammunition (RH 2247)

The cost of weapons and/or ammunition of any type is not an allowable expenditure, unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

h) Membership Dues (RH 2248)

The cost of membership dues for projects involved in the licensing or credentialing of professional personnel is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized in the RFP instructions.

i) Professional License (RH 2248)

The cost of a professional license is not an allowable expenditure unless specifically authorized in the RFP instructions.

j) Annual Professional Dues or Fees (RH 2248)

The cost of professional dues or fees is not an allowable expenditure unless it is part of a governmental negotiated benefit package or is specifically authorized by the RFP instructions.

k) Charges, Fees and Penalties (RH 2245)

Finance charges, late payment fees, penalties and returned check charges are not allowable expenditures.

l) Depreciation (RH 2249)

Equipment costs may not include additional costs calculated for depreciation.

GLOSSARY OF TERMS

TERM	DEFINITION
Activity	The specific steps or actions that a project takes to achieve a measurable objective.
Administrative Agency or Recipient	The agency or organization designated on the Grant Award Face Sheet who is the programmatic Recipient of the grant funds and will accomplish the planned objectives and program goals (e.g., County of Alameda, City of Fresno, State Department of Justice, Fairfield Youth Services Bureau). The Recipient was formerly referred to as the "Grantee."
Application	Once selected for funding, the original proposal plus any additional forms as required by CalEMA becomes the application. This application, once signed by CalEMA and the local government agency or organization authorized to accept grant funding, becomes the Grant Award/Grant Award Agreement.
CFR	Code of Federal Regulations
Community-based Organization (CBO)	A nonprofit, public benefit corporation.
Competitive Bid	A contract process used when all suppliers are equally or nearly equally qualified to provide the services.
Equal Employment Opportunity Plan (EEOP)	A comprehensive plan that analyzes the agency's workforce and all agency employment practices to determine their impact on the basis of ethnicity and gender.
EEOP Guidelines	Extensive description of state and federal civil rights requirements and what constitutes an EEOP (samples, forms, etc.). The document was prepared to assist Recipients in ensuring nondiscrimination and in the development, implementation, and/or improvement of their EEOP for compliance with the law.
Grant Award Agreement	The signed final agreement between CalEMA and the local government agency or organization authorized to accept grant funding. (See Application.)
Grant Funding Cycle	The number of years a program may be funded without competition. A funding cycle is typically three years.
Grant Funding Period	The period of time, determined by the Request for Proposal (RFP) or the Request for Application (RFA), which the

TERM	DEFINITION
	project narrative, objectives, activities, and budget cover. The time period is usually one year, and is shown on the Grant Award Face Sheet (CalEMA A301).
Implementing Agency	The agency or organization designated on the Grant Award Face Sheet that is responsible for the day-to-day operation of the project (e.g., probation department, district attorney, sheriff).
Monitoring Report Response Form	Form sent to the Recipient with the Monitoring report. The form is completed by the Recipient and returned to the CalEMA Local Assistance Monitoring Branch (LAMB), indicating the Monitoring Report is accurate or inaccurate as of the date of the Monitoring.
Noncompetitive Bid (NB)	A contract for goods or services, where only a single source that can provide the services or goods is afforded the opportunity to offer a price for the specified services or goods. (Contracts sometimes include goods as well as services, and this definition will also apply to those circumstances.)
Nonprofit Organization (aka Community Based Organization)	<p>A nonprofit, public benefit corporation as defined in the federal regulation of 28 C.F.R. Part 38, Department of Justice. This modifies the need to be recognized by the Internal Revenue Service as a 501 (c) (3) for recipients of Faith-based Organizations. All organizations may qualify for nonprofit status using any one of the four following methods:</p> <ol style="list-style-type: none"> (1) Proof that the Internal Revenue Service recognizes the applicant has the status of a 501 (c) (3). (2) A statement from a State taxing body or the State secretary of state certifying that (i) the Organization is a nonprofit organization operating within the State; and (ii) No part of its net earnings may lawfully benefit any private shareholder or individual: (3) A certified copy of the applicant's certificate of incorporation or similar document that clearly establishes the nonprofit status of the applicant; or (4) Any item described in (1) through (3) if that item applies to a State or national parent organization, together with a statement by the State or parent organization that the applicant is a local nonprofit affiliate.

TERM	DEFINITION
Objectives	A set of quantifiable projections to be carried out in order to accomplish the program goals.

On Site	Refers to the location of operation of the grant award recipient. If multiple sites exist, the site that provides the project recipients with program direction qualifies as the “on site location.”
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TERM	DEFINITION
Operational Agreement (OA)	A formal agreement between two or more agencies, which specifies the responsibilities of each agency in implementing the project. The term Operational Agreement also includes documents entitled Memorandum of Understanding, Letters of Intent, or other titles, but which serve the same purpose.
Participating Agency	An organization that receives grant funds through an Operational Agreement to participate in achieving the goals of a project. The participating agency must be a unit of government or a community-based organization.
Participating Staff	A salaried employee of a Participating Agency
Program	A specific set of goals and objectives established pursuant to legislative, congressional, or administrative action identifying an unmet need of the criminal justice system or victim services and supported by a set appropriation from state or federal funding sources.
Project	The implementation of a Program by a Recipient. The project includes all of the grants implemented by the Recipient under that Program regardless of the year of implementation.
Proposal	The packet of forms and narrative as requested by the RFP and submitted to CalEMA that specified the priorities, strategies, and objectives of the applicant.
Recipient Handbook	This handbook outlines the terms and conditions required of grant projects. Funded projects must administer their grants in accordance with these administrative and fiscal conditions. The Recipient Handbook is accessible on the internet website at www.oes.ca.gov by selecting a “Criminal Justice Programs” section under the “Justice Programs” tab, then looking in the “Related Links” for “Recipient Handbooks The Recipient Handbook was previously called the “Grantee Handbook”.

Request for Application (RFA)	The RFA is a noncompetitive process issued by CalEMA to
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	obtain applications from applicants previously selected for funding.
Request for Proposal (RFP)	The Request for Proposal is issued by CalEMA to solicit competitive proposals in order to select projects for funding.
Single Source	This term has been replaced by the term "noncompetitive bid".
Sole Source	This term has been replaced by the term "noncompetitive bid".
TERM	DEFINITION
Source Documentation	Records that validate project activities and achievements as they pertain to the objectives outlined in the Grant Award Agreement.
Supplanting	To reduce federal, state, or local funds because of the existence of CalEMA funds. Supplanting occurs when a Recipient deliberately replaces its non-CalEMA funds with CalEMA funds, thereby reducing the total amount available for the stated purpose.
Terms of the Program	The applicable Program Guidelines, application requests [Request for Proposal (RFP)/Request for Application (RFA)], grant award agreement, CalEMA policy statements, and applicable statutes. In the event the terms of the program are inconsistent with the provisions of this handbook, the terms of the program shall be interpreted and construed as superseding the provisions of this handbook.
USC	United States Code

CALIFORNIA EMERGENCY MANAGEMENT AGENCY
LAW ENFORCEMENT AND VICTIM SERVICES DIVISION

RESIDENTIAL SUBSTANCE ABUSE TREATMENT PROGRAM
COMPETITIVE REQUEST FOR PROPOSAL

RATING FORM

	Control #:
	Rater #:
APPLICANT:	
FUNDS REQUESTED:	
PREFERENCE POINTS: <input type="checkbox"/> zero <input type="checkbox"/> 2% <input type="checkbox"/> 5%	

CATEGORY

	<u>Total Points Possible</u>
1. PROBLEM STATEMENT (10%)	50
2. PLAN AND PROJECT OBJECTIVES (40%)	200
3. IMPLEMENTATION (25%).....	125
4. BUDGET (15%)	75
5. COMPREHENSIVE ASSESSMENT (10%).....	50
TOTAL.....	<u>500</u>

Each of the above categories contains questions assigned a point value. The point scale is divided into five columns labeled I, II, III, IV, and V. The applicant's response to each question is evaluated on the following criteria:

- I. ABSENT: The response does not address the specific question or a response was not provided.
- II. UNSATISFACTORY: The response does not completely address the question. Information presented does not provide a good understanding of applicant's intent, does not give detailed information requested by the RFP, or does not adequately support the proposal or the intent of the program.
- III. SATISFACTORY: The response addresses the question, providing a good understanding of the applicant's intent. Response adequately supports the proposal and the intent of the program.
- IV. ABOVE AVERAGE: The response is above average, providing a clear and detailed understanding of the applicant's intent. The response presented a persuasive argument supporting the proposal and the intent of the program.
- V. EXCELLENT: The response is outstanding, with clear, detailed and relevant information. The response presented a compelling argument supporting the proposal and the intent of the program.

RATING SCORE SHEET (Page 1 of 3)	I	II	III	IV	V
1. PROBLEM STATEMENT (Maximum <u>50</u> points)					
a. Does the applicant describe the problems to be addressed by this proposal?	0	7	13	19	25
b. Does the applicant describe why current needs are not being met through existing resources?	0	7	13	19	25
2. PLAN AND PROJECT OBJECTIVES (Maximum <u>200</u> points)					
a. Does the applicant describe the overall plan to implement and administer a CalEMA RSAT Program?	0	4	8	7	15
b. Does the applicant describe proposed staffing and responsibilities to be performed in the CalEMA RSAT Program?	0	4	8	7	15
Objective #1: Provide or Enhance CalEMA RSAT beds – Set apart from the general population in an in-custody setting or correctional community-based setting.					
a. Does the applicant describe in detail the targeted population and how treatment services will be provided?	0	3	5	8	10
b. Does the applicant describe the average treatment costs per offender, per day including the number of days in the treatment program?	0	3	5	8	10
c. Does the applicant describe how the screening and assessment process will be developed, and monitored?	0	3	5	8	10
d. Does the applicant provide the anticipated service goals associated with this objective?	0	3	5	8	10
e. Does the applicant adequately address how data will be collected and reported relative to this objective's anticipated service goals?	0	3	5	8	10
Objective #2: Develop the participant's cognitive / behavioral social / vocational/other skills.					
a. Does the applicant describe the treatment delivery methods to be used and the incorporation of re-entry planning activities in their treatment program?	0	3	5	8	10
b. Does the applicant provide the anticipated service goals associated with this objective?	0	3	5	8	10
c. Does the applicant adequately address how data will be collected and reported relative to this objective's anticipated	0	3	5	8	10

RATING SCORE SHEET (Page 1 of 3)	I	II	III	IV	V
service goals?					

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Objective #3: Implementation or continued Urinalysis or other proven forms of drug /alcohol testing.					
a. Does the applicant describe the drug testing policy; how testing will be administered; frequency of testing; and imposed sanctions for noncompliance, etc?	0	3	5	8	10
b. Does the applicant provide the anticipated service goals associated with this objective?	0	3	5	8	10
c. Does the applicant adequately address how data will be collected and reported relative to this objective's anticipated service goals?	0	3	5	8	10
Objective #4: Aftercare services.					
a. Does the applicant describe how Aftercare services will be provided including the coordination between the CalEMA RSAT program and social services, mental health, and other rehabilitation aftercare services?	0	3	5	8	10
b. Do they discuss the average length of stay in the Aftercare program in days, for those completing the program?	0	3	5	8	10
c. Do they discuss if the Aftercare is CalEMA RSAT grant funded or not and how many offenders enter these Aftercare services?	0	3	5	8	10
d. Do they discuss the average treatment cost per offender, per day, for the Aftercare services?	0	3	5	8	10
e. Does the applicant provide the anticipated service goals associated with this objective?	0	3	5	8	10
f. Does the applicant adequately address how data will be collected and reported relative to this objective's anticipated service goals?	0	3	5	8	10
3. IMPLEMENATATION (Maximum <u>125</u> points)					
Organizational Description					
a. Does the project describe the applicant's ability to implement and administer the grant?	0	7	13	19	25
b. Does the applicant describe the agencies in which coordinated efforts are taking place?	0	7	13	19	25
Operational Agreements					

a. Does the applicant provide original, signed and dated Operational Agreements with each agency involved in the placement of participants in aftercare services?	0	13	25	38	50
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RATING SCORE SHEET (Page 3 of 3)		I	II	III	IV	V
Organizational Chart						
a. Does the Organizational Chart, clearly depict the structure of the organization including project staff responsible for the CalEMA RSAT project?		0	7	13	19	25
4. BUDGET, including budget narrative (Maximum <u>75</u> points)						
a. How well does the budget narrative support the proposal objectives and activities, and the duties of the project funded staff?		0	10	20	30	40
b. How well do the line items support the budget narrative and the overall proposal's plan?		0	9	18	27	35
5. COMPREHENSIVE ASSESSMENT (Maximum <u>50</u> points)						
a. How well does this proposal support the overall intent, goals, and purpose of the project?		0	13	25	38	50

SUMMARY OF PAST PERFORMANCE POLICY

The following is a summary of CalEMA's Past Performance Policy. A complete copy may be obtained by sending a written, fax or email request to the attention of the Deputy Director of Law Enforcement and Victim Services Division:

California Emergency Management Agency
Law Enforcement and Victim Services Division
3650 Schriever Avenue
Mather, CA 95655
Attn: Residential Substance Abuse Treatment (RSAT) Program
Fax: (916) 327-5674

1. General Policy

This policy is intended to penalize existing recipients having serious performance problems and will be utilized only in connection with the RFP process on the awarding of grants for new funding cycles. It was developed in consultation with CalEMA's advisory groups.

2. Penalty Levels

Level A: Complete disqualification from RFP process.

Level B: 10% point reduction of total possible points from an applicant's score.

3. Standard for Invoking this Policy

The standard for invoking either penalty is whether the applicant's compliance with grant terms and conditions falls significantly below average — far below the level to be expected of other recipients, and not minor incident(s) of noncompliance with CalEMA policies.

a) Serious Performance Problems Eligible for Consideration

Performance problems which would qualify under this policy include, but are not limited to:

- 1) Significant failure to account for use of funds, mishandling/misuse of funds, fraud or embezzlement, or other material accounting irregularities or violation(s), as documented in an audit report, monitoring report, police report, or other similar objective documentation;
- 2) Violation(s) of material statutory requirements related to the grant;
- 3) A willful or grossly negligent violation of a CalEMA policy, or Terms of the Program, but only after the recipient had been provided:

- a) Technical assistance by CalEMA, including a site visit if necessary, to Remedy the violation;
- b) At least one written notice (per violation); and
- c) A reasonable opportunity to remedy the violation.

Written notice of serious performance problems will be provided to the recipient's executive officer. Failure to remedy the violation may negatively impact the recipient's eligibility for future funding.

It is not necessary for a criminal conviction to have occurred for CalEMA to consider actions appearing to constitute fraud, embezzlement, mishandling of funds or other types of statutory violations. CalEMA must only have reliable evidence this conduct occurred. Moreover, only properly documented performance problems will be considered.

b. Factors Considered

In determining an appropriate penalty, factors to be considered include, but are not limited to:

- 1) The seriousness of the problem;
- 2) Whether the problem identified was intentional;
- 3) Whether the problem revealed dishonest behavior by the applicant;
- 4) Whether the interests of the State or the public were harmed by the problem;
- 5) Whether the problem or problems were a one-time occurrence or represent an ongoing pattern of behavior;
- 6) Whether the problem was documented objectively; and
- 7) Whether CalEMA attempted to assist the recipient in remedying the problem.

c. Specific Examples

Performance problems should be considered on a case-by-case basis, with the totality of the circumstances to be considered. The following examples are not intended to be binding or restrictive of CalEMA's authority to determine the appropriate penalty in a particular case:

- 1) CalEMA conducts a visit of a project and makes the following findings:
 - a) The shelter failed to pay overtime on two occasions;
 - b) Three timesheets did not contain a supervisor's approval; and
 - c) The project's doors opened at 9:30 a.m. instead of 9:00 a.m. as stated on its RFP proposal.

A corrective action plan is developed and the recipient takes steps to address the findings. Communication with the recipient four months later shows the findings have been corrected.

Penalty: None

- 2) An audit a year ago discovered a project employee embezzled \$300 of CalEMA funds. The audit concludes this occurred in part due to inadequate management controls and supervision by the project. The employee was fired and the case submitted to the district attorneys office for prosecution. The recipient has implemented new accounting and management policies and procedures, and promises to better supervise its employees. No other problems with the recipient are known.

Penalty: Level B

- 3) A project has agreed to provide victim advocacy services in County X. The recipient spends \$40,000 on non grant related expenses but does not provide the services. This is documented in the site visit report. The project's Progress Reports to CalEMA report the services are being provided. CalEMA refers the matter to the district attorney for prosecution, but no additional steps have yet been taken.

Penalty: Level A

4. Notification to the Applicant and Appeal of Decision

A letter will be sent by certified mail to the applicant denied funding due to past performance problem(s). The applicant shall be provided with a summary of why the performance problem penalty was invoked. The applicant is entitled to appeal the denial of funding on the same basis as other appeals of denial of funding, pursuant to the Appeals Guidelines.